# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of: Confirmation No.: 1551

 Frank Henglein, et al.
 Date: August 23, 2011

 Serial No.: 10/582,066
 Group Art Unit: 1731

Filed: March 15, 2007 Examiner: Ross J. Christie

For: COSMETIC COMPOSITION FOR THE CREATION OF A COSMETIC COATING HAVING A METALLIC, MULTICOLORED IRIDESCENT APPEARANCE; AND

ARTIFICIAL FINGERNAIL (As Amended)

#### VIA EFS-WEB

Commissioner for Patents

Alexandria, Virginia 22313-1450

#### REQUEST FOR CORRECTED FILING RECEIPT

Sir:

Please issue a corrected filing receipt for the above-identified patent application.

In the "Applicant(s)" section of the filing receipt, Christian Erker is incorrectly named as an inventor. The correct information for the "Applicant(s)" section of the filing receipt is as follows:

# Frank Henglein, Nurnberg, GERMANY Thomas Schuster, Lauf, GERMANY

On June 8, 2006, an Application Data Sheet containing the correct inventorship listed above was filed concurrently with this patent application (copy enclosed).

On December 8, 2006, an incorrect Declaration and Power of Attorney was filed with the U.S. Patent and Trademark Office for this patent application. The Declaration and Power of Attorney filed on December 8, 2006 for this patent application was intended to be filed in U.S. Patent Application No. 10/581,382, now U.S. Patent No. 7,549,701. Upon becoming aware of this situation, on March 15, 2007, applicants' counsel filed a "Submission of Substitute Declaration" containing the Declaration and Power of Attorney (copy enclosed) with the correct

inventorship for this patent application. The Submission explains that the Declaration filed on December 8, 2006 was an error and that it concerned another U.S. patent application.

Last, the title of the invention was amended in a Preliminary Amendment filed concurrently with this patent application via Express mail on June 8, 2006 (copy enclosed). The amended title, as it appears in the Preliminary Amendment, is as follows:

# COSMETIC COMPOSITION FOR THE CREATION OF A COSMETIC COATING HAVING A METALLIC, MULTICOLORED IRIDESCENT APPEARANCE; AND ARTHFICIAL FINGERNAIL.

A marked-up copy of the filing receipt reflecting the errors to be corrected is enclosed.

It is respectfully requested that the U.S. Patent and Trademark Office issue a corrected filing receipt at the earliest possible date.

In the event payment of any fee is inadvertently not enclosed, or if any additional fee during the prosecution of this case is not paid, the Patent and Trademark Office is authorized to charge the underpayment to Deposit Account No. 15-0700.

THIS CORRESPONDENCE IS BEING SUBMITTED ELECTRONICALLY THROUGH THE PATENT AND TRADEMARK OFFICE EFS FILING SYSTEM ON August 23, 2011.

Respectfully submitted,

Mark A. Farley

Registration No.:33,170 OSTROLENK FABER LLP 1180 Avenue of the Americas

New York, New York 10036-8403 Telephone: (212) 382-0700

MAF:ck



## United States Patent and Trademark Office

UNITED STATES DEPARTMENT OF COMMERCE United States Patent and Trademark Office Addison COMMISSIONEE FOR PATENTS FO. the 1400 in 2011 LINE

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-	10/582,066	03/15/2007	1755	1430	P/746-5	28	1

**CONFIRMATION NO. 1551** 

2352 OSTROLENK FABER GERB & SOFFEN 1180 AVENUE OF THE AMERICAS

NEW YORK, NY100368403

FILING RECEIPT

Date Mailed: 05/30/2007

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt Incorporating the requested corrections (if appropriate).

Applicant(s)

- Christian Erker, Usingen, GERMANY; Frank Henglein, Nurnberg, GERMANY; Thomas Schuster, Lauf, GERMANY;

Power of Attorney: The patent practitioners associated with Customer Number 000002352

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/DE04/02703 12/09/2004

Foreign Applications

GERMANY 103 58 091.3 12/10/2003

if Required, Foreign Filing License Granted: 05/25/2007

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is US10/582,066

Projected Publication Date: 09/06/2007

Non-Publication Request: No

Early Publication Request: No

Title

Cosmetic Preparations for the Generation of a Cosmetic Covering with a Metallic and Multi-Soloured Shingmering Appearance and Antifical Fingernal

COSMETIC COMPOSITION FOR THE CREATION OF A COSMETIC COATING HAVING A METALLIC, MULTICOLORED IRIDESCENT APPEARANCE;

AND ARTIFICIAL FINGERNAIL

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# PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filling of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process simplifies the filling of patent applications on the same invention in member countries, but does not result in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek quidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filling of a U.S. patent application serves as a request for a foreign filling license. The application's filling receipt contains further information and guidance as to the status of applicant's license for foreign filling.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filling foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at http://www.uspto.gov/web/offices/bac/do/conerrat/index.html.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, http://www.stoptkes.gov. Part of a Department of Commerce initiative, this website includes self-help "tooklist" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hothline at 1-866-999-HALT (-1866-999-HALT).

#### LICENSE FOR FOREIGN FILING UNDER

Title 35, United States Code, Section 184

Title 37, Code of Federal Regulations, 5.11 & 5.15

#### GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.156 and unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the

subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign AssetsControl, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

COMBINED DECLARA	UNITED STATES OF AMERICA COMBINED DECLARATION AND POWER OF ATTORNEY FOR FATENT APPLICATION					
subject matter which is claimed : COSMETIC PREPAR	I hereby declare that: my restience, post of 121, first and sole inventor (if only one name 121 of which a patent is sought on the inven- ATIONS FOR THE GENERATION	i is listed below) or : ndod emitled: N OF A COSM	i joint inventor (if pla IETIC COMEDIA	ral inventors are named) of the		
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# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Frank HENGLEIN, et al.

Date: June 8, 2006

International Application No.: PCT/DE2004/002703

Group Art Unit: ---

International Application Filed: December 9, 2004

Examiner: ---

U.S. Serial No.: Not Yet Known

U.S. Filed: Herewith

For: COSMETIC COMPOSITION FOR THE CREATION OF A COSMETIC COATING HAVING A METALLIC, MULTICOLORED IRIDESCENT

APPEARANCE; AND ARTIFICIAL FINGERNAIL (As Amended)

Mail Stop PCT
Commissioner for Patents
P.O. Box 1450

Alexandria, VA 22313-1450

# PRELIMINARY AMENDMENT

Sir:

Prior to examination on the merits, kindly amend the application as follows:.

#### FEE CALCULATION

Any additional fee required has been calculated as follows:

\_\_\_\_\_ If checked, "Small Entity" status is claimed.

	NO. CLAIMS	•	HIGHEST NO.					
	AFTER		PREVIOUSLY	•				ADDIT.
	AMENDMEN'	Г	PAID FOR	EXT	RA PRESEN	TV_	RATE	FEE
TOTAL	28	MINUS	20	*=	0	Х	(\$25 SE or \$50)	\$400.00
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<sup>\*</sup> not less than 20 \*\* not less than 3

TOTAL \$400.00

In the event the actual fee is greater than the payment submitted or is inadvertently not enclosed or if any additional fee during the prosecution of this application is not paid, the Patent Office is authorized to charge the underpayment to Deposit Account No. 15-0700.

#### CONTINGENT EXTENSION REQUEST

If this communication is filed after the shortened statutory time period had elapsed and no separate Petition is enclosed, the Commissioner of Patents and Trademarks is petitioned, under 37 C.F.R. § 1.136(a), to extend the time for filing a response to the outstanding Office Action by the number of months which will avoid abandonment under 37 C.F.R. § 1.135. The fee under 37 C.F.R. § 1.17 should be charged to our Deposit Account No. 15-0700.

#### SUMMARY OF AMENDMENTS

- 1. If checked, an abstract (an amended abstract) is submitted herewith.
- 2. \_\_\_ If checked, amendment(s) to the drawings are submitted herewith.
- 3. X If checked, amendment(s) to the specification are submitted herewith.
- 4. X If checked, amendment(s) to the claims are submitted herewith.

# AMENDMENT(S) TO THE SPECIFICATION

Please amend the specification as follows:

Please delete the title of the invention and replace it with the following:

COSMETIC COMPOSITION FOR THE CREATION OF A COSMETIC

COATING HAVING A METALLIC, MULTICOLORED IRIDESCENT APPEARANCE;

AND ARTIFICIAL FINGERNAIL

Please insert a paragraph beginning at page 1, after the title of the invention:

# CROSS REFERENCE TO RELATED APPLICATIONS

The present application is a 35 U.S.C. §371 National Phase conversion of PCT/DE2004/002703 filed December 9, 2004, which claims priority of German Application No. 103 58 091.3 filed December 10, 2003. The PCT application was published in the German language.

On page 1, after the Cross Reference To Related Applications, please insert: Field of the Invention

On page 1, at line 7, before the paragraph beginning with, "A nail varnish that lends a metallic appearance to a fingernail...", please insert:

Background of the Invention

On page 3, at line 28, before the paragraph beginning with, "It is an object of the present invention to prepare a cosmetic composition...", please insert:

Summary of the Invention

### On page 4, after line 18, please insert:

Brief Description of the Figures

Fig. 1 is a scanning electron microscope (SEM) image of an embossed PVD aluminum pigment; and

Fig. 2 is a schematic illustration of what is meant by a "peak to valley" and a "peak to peak" alignment, respectively.

On page 4, after the Brief Description of the Figures, please insert:

Detailed Description of Certain Embodiments of the Invention

On page 16, line 5, after the heading 'Examples', please insert:

The following Examples are provided only for purposes of illustration and are not to be construed as limiting the invention in any manner.

On page 24, please delete "Claims" and insert:

What is claimed is:

On page 29, please insert the following title at the top of the page:

COSMETIC COMPOSITION FOR THE CREATION OF A COSMETIC COATING
HAVING A METALLIC, MULTICOLORED IRIDESCENT APPEARANCE: AND
ARTIFICIAL FINGERNAIL.

On page 29, please delete the heading 'Summary' and replace it with the following: Abstract of the Disclosure

# LISTING OF THE CLAIMS

This listing of claims will replace all prior versions, and listings, of claims in the application:

- 1) (Original) A cosmetic composition for creating a cosmetic coating having a metallic and multicolored iridescent appearance, comprising a liquid phase and a PVD aluminum pigment, wherein said PVD aluminum pigment has diffractive structures containing from approximately 5,000 to approximately 20,000 structural elements per cm and a metallic aluminum content of from 90 to 100 % by weight, based on the weight of the aluminum pigment, and is present in the cosmetic composition at a pigmentation level of from 0.05 to 5.0 % by weight, based on the total weight the cosmetic composition.
- (Original) The cosmetic composition as defined in claim 1, characterized in that said aluminum pigment has from approximately 7,000 to approximately 15,000 structural elements per cm.
- 3) (Currently Amended) The cosmetic composition as defined in claim 1 or claim 2, characterized in that said cosmetic composition additionally contains at least one film-forming component and is a nail varnish.
- 4) (Currently Amended) The cosmetic composition as defined in claim 1-or claim 2, characterized in that said cosmetic composition additionally contains one or more waxes and is a lip gloss composition.
- 5) (Currently Amended) The cosmetic composition as defined in claim 3, characterized in that

said film-forming component comprises cellulose nitrate having a molecular weight of more than 56,000 g/mol and preferably more than 112,000 g/mol.

- 6) (Currently Amended) The cosmetic composition as defined in claim 3 or claim 5, characterized in that said film-forming component comprises cellulose nitrate.
- 7) (Currently Amended) The cosmetic composition as defined in claim 3 any one of claims 3, 5 and 6,

characterized in that

said film-forming component comprises cellulose acetate butyrate having a molecular weight of preferably more than 83,000 g/mol.

 (Currently Amended) The cosmetic composition as defined in claim 3 any one of claims 3: 5: 6: and 7.

characterized in that

said liquid phase is an organic solvent preferably selected from the group consisting of toluene, n-propyl acetate, isopropyl acetate, isopropyl alcohol, ethyl acetate, ethanol, glycol ether, n-butyl acetate, methyl proposol acetate, and mixtures thereof.

 (Currently Amended) The cosmetic composition as defined in claim 3 any one of claims 3.5.6.7. and 8.

characterized in that

said cosmetic composition additionally contains at least one of a plasticizer and and/or a dispersing agent.

10) (Currently Amended) The cosmetic composition as defined in <u>claim 3</u> any one of <u>claims 3</u>, 5, 6, 7, 8, and 9.

characterized in that

said cosmetic composition contains, as plasticizer, at least dibutyl phthalate, optionally together with saccharose acetate isobutyrate.

 (Currently Amended) The cosmetic composition as defined in claim 9-or claim 10, characterized in that

said cosmetic composition contains, as dispersing agent, at least one of bentonites and and/or polymeric urea.

12) (Currently Amended) The cosmetic composition as defined in <u>claim 3</u> <del>any one of claims 3, 5, 6, 7, 8, 9, 10, and 11</del>,

characterized in that

the aluminum pigment is present at a pigmentation level of from 0.1~% to 2.0~% by weight.

13) (Currently Amended) The cosmetic composition as defined in <u>claim 3</u> any one of claims 3, 5, 6, 7, 8, 9, 10, 11, and 12,

characterized in that

said cosmetic composition additionally contains at least one coloring agent.

14) (Currently Amended) The cosmetic composition as defined in claim 13, characterized in that said coloring agent is at least one of a colored pigment and/or and a dye.

15) (Currently Amended) The cosmetic composition as defined in <u>claim 3</u> <del>any one of claims 3. 5. 6. 7. 8. 9. 10. 11. 12. 13. and 14</del>.

characterized in that

said diffractive structures are a reflection grating.

16) (Currently Amended) The composition as defined in <u>claim 3</u> any one of claims 3, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, and 15,

characterized in that

said PVD aluminum pigment has a layer thickness of from approximately 20 nm to approximately 140 nm and preferably from approximately 20 nm to approximately 100 nm.

- 17) (Currently Amended) The cosmetic composition as defined in claim 4, characterized in that said liquid phase additionally contains <u>at least one of an</u> oil <del>and/or and a</del> gel.
- 18) (Currently Amended) The cosmetic composition as defined in claim 4-or claim 17, characterized in that said cosmetic composition contains additives-such as selected from the group consisting of antioxidants, coloring agents, emulsifiers, vitamins, perfumes, and/or fillers and combinations
- (Currently Amended) The cosmetic composition as defined in claim 17-or claim 18, characterized in that

said oil is selected from the group consisting of castor oil, canola oil, lanoline oil, silicone oils, polybutylene, mineral oils, oleyl alcohol, isocetyl alcohol and esters including such as isopropyl myristate [[or]] and decyl oleate, and mixtures thereof.

(Currently Amended) The cosmetic composition as defined in <u>claim 4</u> any one of claims 4, 17, 18, and 19,

characterized in that

thereof.

said wax is selected from the group consisting of carnauba wax, candelilla wax, ozocerite, ceresine wax, microcrystalline wax, synthetic waxes such as including the glycerin esters of C18 to C36 fatty acids, cetyl alcohol, stearyl alcohol, lanoline, beeswax, and mixtures thereof.

(Currently Amended) The cosmetic composition as defined in <u>claim 4</u> any one of <u>claims 4, 17, 18, 19, and 20</u>,

characterized in that

said cosmetic composition additionally contains at least one coloring agent.

22) (Currently Amended) The cosmetic composition as defined in claim 21, characterized in that said coloring agent is at least one of a colored pigment and/or and a dye.

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23) (Currently Amended) The cosmetic composition as defined in <u>claim 4</u> any one of <u>claims 4, 17, 18, 19, 20, 21, and 22</u>,

characterized in that

said cosmetic composition further contains one or more additives selected from the group consisting of such as perfume, antioxidants, light-stabilizing agents, or preservatives.

24) (Currently Amended) The cosmetic composition as defined in <u>claim 4 any one of claims 4, 17, 18, 19, 20, 21, 22, and 23,</u>

characterized in that

said aluminum pigment is present at a pigmentation level of from 0.2 to 2.0 % by weight, based on the total weight of the cosmetic composition .

25) (Currently Amended) The cosmetic composition as defined in claim 4 any one of claims 4, 17, 18, 19, 20, 21, 22, 23, and 24,

characterized in that

said diffractive structures are a reflection grating.

26) (Currently Amended) The cosmetic composition as defined in <u>claim 4</u> any one of claims 4, 17, 16, 19, 20, 21, 22, 23, 24, and 25,

characterized in that

said PVD aluminum pigment has a layer thickness of from approximately 20 nm to approximately 140 nm and preferably from approximately 20 nm to approximately 100 nm.

27) (Currently Amended) An artificial fingernail,

characterized in that

said artificial fingernail is coated with a cosmetic composition as defined in claim 3 any one of claims 3, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, and 15.

Please add the following new claim:

28) (New) The cosmetic composition as defined in claim 8, wherein said organic solvent is selected from the group consisting of toluene, n-propyl acetate, isopropyl alcohol, ethyl acetate, ethanol, glycol ether, n-butyl acetate, methyl proposol acetate, and mixtures thereof.

00769081.1 -10-

#### REMARKS/ARGUMENTS

Claims 1-27 are pending in the application. The claims have been amended to remove multiple dependencies and to place them in more appropriate form for U.S. practice. In addition, new claim 28 has been added. Both the claim amendments and the new claim are completely supported by the application as filed. Thus, there is no issue of new matter.

The specification has been amended to add Section Headings and a cross-reference to related applications. No new matter has been added.

Entry of this Amendment into the file of the application is respectfully requested. Upon such entry, claims 1-28 as amended, will remain pending in the application.

EXPRESS MAIL CERTIFICATE
I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail Post Office to Addressee (EV 606198634 US) in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on June 8, 2006

Name of Person Mailing Correspondence

Signatur

June 8, 2006

RCF:jl

Respectfully submitted,

Robert C. Faber

Registration No.: 24,322

OSTROLENK, FABER, GERB & SOFFEN, LLP

1180 Avenue of the Americas

New York, New York 10036-8403 Telephone: (212) 382-0700